

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Gang Li and Soo Jin Chua  
Application No. : 09/423,401  
Filed : November 5, 1999  
Title : METHOD OF SELECTIVE POST-GROWTH TUNING  
OF AN OPTICAL BANDGAP OF A  
SEMI-CONDUCTOR HETEROSTRUCTURE AND  
PRODUCTS PRODUCED THEREOF

Grp./Div. : To be assigned  
Examiner : Rafael Bacares

Docket No. : 36368/DRK/L359

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS  
AND REQUEST FOR REFUND

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Commissioner of Patents & Trademarks  
Washington, D.C. 20231

JUN 05 2002

P.O. Box 7068  
Pasadena, CA 91109-7068  
August 10, 2000

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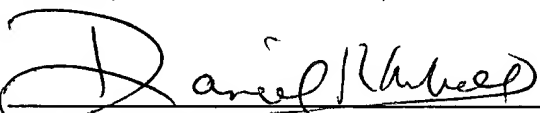
Commissioner:

Applicant hereby submits a Small Entity Declaration verifying small entity status for the above-identified application. The application was filed on November 5, 1999 with the PCT large entity filing fee of \$982.00. The excess over a small entity filing fee for a U.S. patent application is \$526.00. Applicant requests a refund of the excess filing fee under 37 CFR § 1.28(a).

Please refund by check with this firm as payee, and indicate our docket number on the check. **A copy of this request is enclosed.**

Respectfully submitted,

CHRISTIE, PARKER & HALE, LLP

By   
Daniel R. Kimbell  
Reg. No. 34,849  
626/795-9900

DRK/eaj  
Enclosure: Small Entity Declaration  
Copy of this request

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Docket No. : 36368/DRK/L359

CHRISTIE, PARKER & HALE, LLP

Post Office Box 7068

Applicant or Patentee : Gang Li and Soo Jin Chua

Pasadena, CA 91109-7068

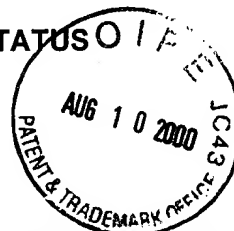
Application or Patent No. : 09/423,401

(626) 795-9900

Filed or Issued : November 5, 1999

Entitled : METHOD OF SELECTIVE POST-GROWTH TUNING OF AN OPTICAL  
BANDGAP OF A SEMI-CONDUCTOR HETEROSTRUCTURE AND  
PRODUCTS PRODUCED THEREOF

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**(37) CFR 1.9(f) & 1.27(c) - SMALL BUSINESS CONCERN**



I hereby declare that I am

\_\_\_\_\_ the owner of the small business concern identified below:

  X   an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN : Institute of Materials Research and Engineering, Singapore  
company of National University of Singapore

JUN 05 2002

ADDRESS OF SMALL BUSINESS CONCERN: 3 Research Link, Singapore 119260

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for the purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled **METHOD OF SELECTIVE POST-GROWTH TUNING OF AN OPTICAL BANDGAP OF A SEMI-CONDUCTOR HETEROSTRUCTURE AND PRODUCTS PRODUCED THEREOF** by inventor(s) Gang Li and Soo Jin Chua described in

\_\_\_\_\_ the specification filed herewith

  X   Application No. 09/423,401 filed November 5, 1999

\_\_\_\_\_ Patent No.      issued     

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

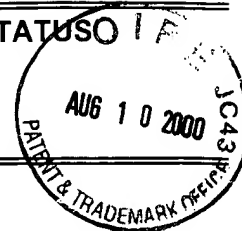
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VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37) CFR 1.9(f) & 1.27(c) - SMALL BUSINESS CONCERN

Docket No.: 36368/DRK/L359



☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME :

ADDRESS :

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING : CHOU SUN CHEE  
TITLE OF PERSON IF OTHER THAN OWNER : Business Development Director

ADDRESS OF PERSON SIGNING : 3 Research Link, #06-14  
Singapore 117602

SIGNATURE

*SC Chou*

DATE

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